

REMARKS

The subject application is a divisional application of application Serial No. 09/222,596 filed on December 28, 1998. Claims 14-27 have been amended to more particularly point out and distinctly claim the invention. Claims 1-13 and 28-42 have been canceled without prejudice. Applicants reserve the right to prosecute the subject matter of the canceled claims in one or more continuation, continuation-in-part or divisional applications. New claims 43 through 94 have been added to more particularly claim certain aspects of the present invention. Therefore, upon entry of the instant amendment, claims 14-27 and 43-94 will be pending. A marked up version of the claims showing the amendments is attached hereto as Exhibit C. A clean version of the pending claims, as amended, is attached hereto as Exhibit D.

Support for the amended recitation of claims 14-27 and for new claims 43 through 94 can be found in the specification as follows.

Claim Number	Support in the specification
14	pages 17-19; Fig. 5
15	pages 17-19; Section 5.8; Figs. 5 and 7
16	page 18, line 11, through page 19, line 10
17	page 18, line 11, through page 19, line 10; Section 5.8; Fig. 7
18	page 17, line 1, through page 19, line 24; Fig. 5
19	page 17, line 1, through page 19, line 24; Section 5.8; Figs. 5 and 7
20	page 17, line 1, through page 19, line 10
21	page 17, line 1, through page 19, line 10; Section 5.8; Fig. 7
22	page 17, lines 1-35
23	page 17, lines 17-24
24	page 17, lines 1-35

Claim Number	Support in the specification
25	page 11, line 28, through page 12, line 27; page 34, lines 2-4
26	page 13, lines 18-21
27	page 34, lines 2-4; page 19, lines 18-24
43	page 8, lines 35-36
44	page 8, lines 35-36; Section 5.8; Fig. 7
45	page 8, lines 35-36
46	page 8, lines 35-36; Section 5.8; Fig. 7
47	page 8, line 35, through page 9, line 1
48	page 8, line 35, through page 9, line 1; Section 5.8; Fig. 7
49	page 8, line 35, through page 9, line 2
50	page 8, line 35, through page 9, line 2; Section 5.8; Fig. 7
51	page 8, line 35, through page 9, line 2
52	page 8, line 35, through page 9, line 2; Section 5.8; Fig. 7
53	page 8, line 35, through page 9, line 4
54	page 8, line 35, through page 9, line 4; Section 5.8; Fig. 7
55	page 9, lines 22-23
56	page 9, lines 22-23; Section 5.8; Fig. 7
57	page 9, lines 22-26
58	page 9, lines 22-26; Section 5.8; Fig. 7
59	page 9, lines 22-26
60	page 9, lines 22-26; Section 5.8; Fig. 7
61	page 9, lines 22-26
62	page 9, lines 22-26; Section 5.8; Fig. 7
63	page 12, lines 14-15
64	page 12, lines 14-15; Section 5.8; Fig. 7

Claim Number	Support in the specification
65	page 12, lines 15-16
66	page 12, lines 15-16; Section 5.8; Fig. 7
67	page 30, lines 24-27; page 41, lines 22-25
68	page 30, lines 24-27; page 41, lines 22-25; Section 5.8; Fig. 7
69	page 31, lines 24-27; page 41, lines 22-25
70	page 31, lines 24-27; page 41, lines 22-25; Section 5.8; Fig. 7
71	page 31, lines 24-28; page 41, lines 22-25
72	page 31, lines 24-28; page 41, lines 22-25; Section 5.8; Fig. 7
73	page 31, lines 24-28; page 41, lines 22-25
74	page 31, lines 24-28; page 41, lines 22-25; Section 5.8; Fig. 7
75	page 31, lines 24-28; page 41, lines 22-25
76	page 31, lines 24-28; page 41, lines 22-25; Section 5.8; Fig. 7
77	page 33, line 35, through page 34, line 4
78	page 13, lines 19-21; page 33, line 35, through page 34, line 4
79	page 13, line 1, through page 14, line 7; page 34, lines 2-4; Section 5.8; Fig. 7
80	page 13, lines 19-21; page 33, line 35, through page 34, line 4; Section 5.8; Fig. 7
81	page 13, lines 19-21; Section 5.8; Fig. 7
82	page 13, lines 19-21; page 33, line 35, through page 34, line 4; Section 5.8; Fig. 7; page 34, lines 28-33
83	page 18, line 11, through page 19, line 10
84	page 18, line 11, through page 19, line 10
85	page 18, line 11, through page 19, line 10; Section 5.8; Fig. 7

Claim Number	Support in the specification
86	page 18, line 11, through page 19, line 10; Section 5.8; Fig. 7
87	page 34, lines 5-12
88	page 34, lines 2-12
89	page 34, lines 5-12; Section 5.8; Fig. 7
90	page 34, lines 2-12; Section 5.8; Fig. 7
91	page 17, lines 1-35; Section 5.8; Fig. 7
92	page 17, lines 1-35; Section 5.8; Fig. 7
93	page 17, lines 1-35; Section 5.8; Fig. 7
94	Section 5.7

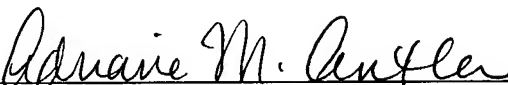
Accordingly, no new matter has been added.

CONCLUSION

Applicants respectfully request entry of the foregoing amendments and remarks into the file of the above-identified application.

Respectfully submitted,

Date: January 28, 2002


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Enclosures

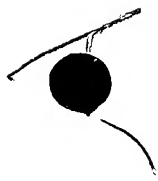


EXHIBIT A
MARKED UP VERSION OF REPLACEMENT PARAGRAPHS OF THE
SPECIFICATION
U.S. PATENT APPLICATION SERIAL NO. TO BE ASSIGNED, DIVISIONAL OF
U.S. PATENT APPLICATION SERIAL NO. 09/222,596

On page 1, line 1, please insert the following paragraph:

CROSS REFERENCE TO RELATED APPLICATION

This application is a division of United States Application no. 09/222,596, filed December 28, 1998, which is incorporated by reference herein in its entirety.

On page 7, please replace the paragraph beginning "Fig. 1 depicts" with the following paragraph:

Fig. 1 depicts some sources of measurement error present in microarray fluorescent images. [(A)] Panel (a) depicts unevenly printed DNA probe spots. [(B)] Panel (b) depicts the effects of scratches, dust, and artifacts. [(C)] Panel (c) depicts how spot positions drift away from a nominal measuring grid. [(D)] Panel (d) depicts the effects of unevenness in the brightness across the microarray due to uneven hybridization. [(E)] Panel (e) depicts the effects of color stripes on the microarray due to fluorophore-specific biases.

On page 8, please replace the paragraph beginning "Fig. 4A is a color ratio" with the following paragraph:

Fig. [4A] 4a is a color ratio vs. intensity plot for an experiment in which both cultures were the same background strain of the yeast *S. cerevisiae* [Cerevisiae]. Genes with a distinct bias between a red and green fluorophore are flagged. Fig. [4B] 4b is the same experiment as depicted in Fig. [4A] 4a except that usage of the red and green fluorophores is reversed. [Fig 4C] Fig. 4c depicts the bias removal process of the invention, wherein [Fig4A] Fig. 4a and

[Fig4B] Fig. 4b are combined to produce a response profile free of fluorophore-specific biases.

On page 11, please replace the paragraph beginning “Microarrays are advantageous” with the following paragraph:

Microarrays are advantageous because nucleic acids representing two different pools of nucleic acid can be hybridized to a microarray and the relative signal from each pool can simultaneously be measured. Each [of] pool of nucleic acids may represent the state of a biological system before and after a perturbation. For example, a first nucleic acid pool may be derived from a mRNA pool from a cell culture before exposing the cell culture to a pharmacological agent and a second cDNA pool may be derived from a mRNA pool derived from the same culture after exposing the culture to a pharmacological agent. Alternatively, the two pools of cDNA could represent pathway responses. Thus, a first cDNA library could be derived from the mRNA of a first aliquot (“pool”) of a cell culture that has been exposed to a pathway perturbation and a second cDNA library can be derived from the mRNA of a second aliquot (“pool”) of the same cell culture wherein the second aliquot was not exposed to the pathway perturbation. As used herein, microarray experiments, including those described in this section, are referred to as (“differential microarray experiments”). One skilled in the art will appreciate that many forms of differential microarray experiments other than the ones outlined in this disclosure are within the scope of the definition of “differential microarray experiments”. Further, as used herein, the term “differential intensity measurement” refers to measurements made in differential microarray experiments. For example, a differential intensity measurement could be the difference between the brightness of a position on a microarray, which corresponds to a cellular constituent of interest, after (i) the microarray has been contacted with DNA derived from a biological system that represents a baseline state and (ii) the microarray has been contacted with DNA derived from a biological system that represents a perturbed state. Further, one skilled in the art will appreciate that the baseline state of a biological system may represent the wild-type state of the biological system. Alternatively, the baseline state of a biological system could represent a different perturbed state of the biological system. Each microarray experiment in a

differential microarray experiment, or repeated differential microarray experiment preferably utilizes the same or similar microarray. Microarrays are considered similar if they are prepared from substantially isogenic biological systems and a majority of the binding spots on each microarray are common. Thus, the microarray used in repeated microarray experiments may be the same identical microarray, wherein the microarray is washed between microarray experiments, or the microarray(s) used in repeated microarray experiments may be exact replicas of each other, or they may be similar to each other.

On page 13, please replace the paragraph beginning “Cell Expression Profiles” with the following paragraph, (in which insertions are shown by double underlining):

Cell Expression Profiles An advantage of using two different cDNA pools in microarray experiments is that a direct and internally controlled comparison of the mRNA levels corresponding to each arrayed gene in two cell states can be made. This and related techniques for quantitative measurement of cellular constituents [constitutents] is generally referred to as cell constituent profiling. Cell constituent profiling is typically expressed as changes, either in absolute level or the ratio of levels, between two known cell conditions, such as a response to treatment of a baseline state with a pharmacological agent, as described in the previous section.

On page 17, please replace the paragraph beginning “If a gene of interest is present in the top 5%” with the following paragraph:

If a gene of interest is present in the top 5% of up regulations in a first and second nominal repeat of a microarray experiment, the chance that it appeared that up regulated by chance in both arrays is only $0.05 * 0.05 = .0025$ or .25%, assuming systematic biases have been removed. Thus repeating the measurement allows a much higher level of confidence in declaring that the gene of interest is up regulated. In general, if expression ratios in any number of repeated experiments are expressed as percentile rankings, the chance $P(H_0)$ that any (pre-specified) gene of interest is not actually up regulated is

$$P(H_0^+) = \prod_i P_i \quad (5)$$

where P_i is the percentile rank in the i^{th} [i'th] experiment, expressed as a fraction (fifth percentile = 0.05). The probability that the gene is not *down*-regulated is given by

$$P(H_0) = \prod_i (1 - P_i) \quad (6)$$

These rank-based methods provide a powerful way of reducing false alarms with repeated measurements. For example, setting a threshold at the upper 5% of expression ratios in a hybridization to probes covering the yeast genome, which has approximately 6000 genes, would yield $\sim 6000 \times 0.05 = 300$ false detections in a single experiment, but less than one false detection on average if the same 5% threshold were applied across four experiment repeats ($6000 \times (0.05)^4$). This rank combining has the advantage that it does not require any modeling of the detailed error behavior in the underlying hybridization experiments, other than the assumption of no systematic biases. The rank based method is an example of a non-parametric statistical test for the significance of observed up- or down- regulations.

On page 23, please replace the paragraph beginning “The use of genesets for representing projected profiles” with the following paragraph:

The use of genesets for representing projected profiles is described in this and the following subsections and also detailed in U.S. Patent application serial number 09/179,569 filed October 27, 1998, now U.S. Patent No. 6,203,987 dated March 20, 2001, entitled “Methods for using co-regulated genesets to enhance determination and classification of gene expression” by Friend *et al.*, and U.S. patent application serial number 09/220,275 [to be assigned] (Attorney docket number 9301-039-999) filed December 23, 1998 by Friend *et al.*, entitled “Methods for using co-regulated genesets to enhance determination and classification of gene expression” which are both incorporated herein by reference in their entireties. Certain genes tend to increase or decrease their expression in groups. Genes tend to increase or decrease their rates of transcription together when they possess similar regulatory sequence patterns, *i.e.*, transcription factor binding sites. This is the mechanism for coordinated response to particular signaling inputs (*see, e.g.*, Madhani and Fink, 1998, The riddle of MAP

kinase signaling specificity, Transactions in Genetics 14:151-155; Arnone and Davidson, 1997, The hardwiring of development: organization and function of genomic regulatory systems, Development 124:1851-1864). Separate genes which make different components of a necessary protein or cellular structure will tend to co-vary. Duplicated genes (*see, e.g.*, Wagner, 1996, Genetic redundancy caused by gene duplications and its evolution in networks of transcriptional regulators, Biol. Cybern. 74:557-567) will also tend to co-vary to the extent mutations have not led to functional divergence in the regulatory regions. Further, because regulatory sequences are modular (*see, e.g.*, Yuh *et al.*, 1998, Genomic cis-regulatory logic: experimental and computational analysis of a sea urchin gene, Science 279:1896-1902), the more modules two genes have in common, the greater the variety of conditions under which they are expected to co-vary their transcriptional rates. Separation between modules also is an important determinant since co-activators also are involved. In summary therefore, for any finite set of conditions, it is expected that genes will not all vary independently, and that there are simplifying subsets of genes and proteins that will co-vary. These co-varying sets of genes form a complete basis in the mathematical sense with which to describe all the profile changes within that finite set of conditions.

On page 38, please replace the paragraph beginning “Microarrays were images on a prototype” with the following paragraph:

Microarrays were images on a prototype multi-frame CCD camera in development at Applied Precision, Inc. (Seattle, WA). Each CCD image frame was approximately 2mm square. Exposure time of 2 sec in the Cy5 channel (white light through Chroma 618-648 nm excitation filter, Chroma 657-727 nm emission filter) and 1 sec in the Cy3 channel (Chroma 535-560 nm excitation filter, Chroma 570-620 nm emission filter) were done consecutively in each frame [fram] before moving to the next, spatially contiguous frame. Color isolation between the Cy3 and Cy5 channels was ~100:1 or better. Frames were knitted together in software to make the complete images. The intensity of spots (~100µm) were quantified from the 10 µm pixels by frame background subtraction and intensity averaging in each channel. Dynamic range of the resulting spot intensities was typically a ratio [ration] of 1000 between the brightest spots and the background-subtracted [background-subtracted] additive

error level. Normalization between the channels was accomplished by normalizing each channel to the mean intensities of all genes. This procedure is nearly equivalent to normalization between channels using the intensity ratio [ration] of genomic DNA spots (See DeRisi *et al.*, 1997), [(See DeRisi *et al.*, 1997) ,] but is possibly more robust since it is based on the intensities of several thousand spots distributed over the array.

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